

**U.S. Department of Energy**  
**Washington, D.C.**

**NOTICE**

**DOE N 326.13**

Approved: 1-3-07  
Expires: 12-31-07

**SUBJECT: ANNUAL CONFIDENTIAL FINANCIAL DISCLOSURE REPORT**  
**(OGE Form 450 or 450A)**

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This Notice addresses the Executive Branch confidential financial disclosure reporting requirements. These requirements apply to career GS/GM and prevailing rate system and administratively determined employees as well as employees serving in excepted service positions designated EJ, EK, and EN.

**NOTE: The list of positions that are exempt from filing a Confidential Financial Disclosure Report is identical to that contained in DOE N 326.12.**

**Who Must File.** All employees of the Department of Energy, including those in the National Nuclear Security Administration, who have occupied positions at GS-15, GM-15, prevailing rate system and administratively determined employees and Excepted Service pay band IV, and below, for more than 60 days during the reporting period (October 1, 2005, through December 31, 2006) must file a Confidential Financial Disclosure Report (OGE Form 450 or Form 450A) unless they are required to file a Public Financial Disclosure Report (SF 278, due May 15th of each year) or they occupy a position that is exempt from filing as shown on the list at the end of this Notice.

Also, each person working at the Department pursuant to an Intergovernmental Personnel Act agreement must file OGE Form 450 or 450A unless he or she occupies a position that is required to file a Public Financial Disclosure Report (SF 278).

Further, the Department may require an OGE Form 450 or 450A from an employee who performs duties that require a Report in accordance with 5 C.F.R. 2634.904(a), regardless of whether such employee occupies a position on the exempt list. Ethics counsel will notify employees who are affected by this requirement on an individual basis.

All special Government employees (i.e., employees who serve less than 130 days during any 365-day period and who are not SF 278 filers) are required to file OGE Form 450 when appointed and, thereafter, only on their respective anniversary/reappointment date. This includes all special Government employees appointed to serve as members of advisory committees under the Federal Advisory Committee Act.

**When to File.** *Annual Reports* (OGE Form 450) must be completed, signed, and submitted after January 1 and no later than February 15, 2007. *New Entrant Reports* (OGE Form 450) must be completed, signed, and submitted within 30 days of entering a position that requires the filing of a report.

**Where to File.** Headquarters personnel should submit Reports (OGE Form 450 or 450A) directly to the Office of the Assistant General Counsel for General Law, GC-77, Room 6A-211,

Forrestal Building. Unless otherwise instructed, field personnel should submit the Report directly to their respective field counsel.

**Reporting Period.** The reporting period covered by the Annual Report (OGE Form 450 or 450A) is, for reporting purposes in 2007, the 15-month period beginning October 1, 2005, and ending December 31, 2006. The reporting period for New Entrant Reports is stated in the Report instructions.

**Forms.** All Confidential Financial Disclosure Report filers must use OGE Form 450 or OGE Form 450A. Filers should obtain either OGE Form 450 or OGE Form 450A directly from the Internet at: [http://www.usoge.gov/pages/forms\\_pubs\\_otherdocs/forms\\_pubs\\_other\\_pg3.html](http://www.usoge.gov/pages/forms_pubs_otherdocs/forms_pubs_other_pg3.html). Under limited circumstances, filers may qualify to file OGE Form 450A, an abbreviated form.

**Information Required.** The instructions on OGE Form 450 and OGE Form 450A answer most questions. However, if additional guidance is required employees may contact the Office of the Assistant General Counsel for General Law, 202-586-1522, [StandardsOfConduct@hq.doe.gov](mailto:StandardsOfConduct@hq.doe.gov), or respective field counsel. **Please note: When using OGE Form 450, the filer must provide a “yes” or “no” answer to the five questions in the middle of page 1. If the answer is “yes” to any of the questions, the filer must complete the corresponding part of the Report.**

**Nonexempt Positions.** ALL employees (except those required to file a Public Financial Disclosure Report) must file a OGE Form 450 or 450A regardless of whether their position is otherwise exempt, if the employee is in one of the following categories:

- o holds a contracting officer’s warrant;
- o serves as a contracting officer’s representative or contracting officer’s technical representative; or
- o is a purchase card holder with a transactional limit exceeding \$3,000.00.

**Exempted Positions.** Unless you are in one of the nonexempt categories listed above, all other exempted positions are listed below in numerical order by occupational series, with the respective exempted grade levels. For example, all employees in the occupational series 00018 at grade 13 and below are exempt from filing a Report. In addition, all employees who occupy wage grade positions in occupational series 02600 and higher are exempt.

Occupational Series	This grade & lower grades are exempt	Occupational Series	This grade & lower grades are exempt
00018	13	00019	15
00020	13	00023	15
00028	13	00029	15
00080	13	00081	15
00084	15	00086	15
00099	15	00101	13
00110	13	00130-132	14

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<b>Occupational Series</b>	<b>This grade &amp; lower grades are exempt</b>	<b>Occupational Series</b>	<b>This grade &amp; lower grades are exempt</b>
00134	15	00150	15
00170	15	00180	13
00193	13	00199	15
00201-299	15	00301	13
00302-305	15	00312-313	15
00318-319	15	00322	15
00326	15	00334	13
00335	15	00340-343	13
00344	15	00346	15
00350-351	15	00360-361	15
00382	15	00390	15
00391	13	00392	15
00394	15	00399	15
00401	13	00403	13
00415	13	00430	13
00440	13	00460	13
00462	15	00480	13
00482	13	00486	13
00499	15	00501	13
00503	15	00505	13
00510	11	00511	no exemptions
00525	15	00540	15
00544	15	00560	13
00561	15	00599	15
00601-603	13	00610	15
00621	15	00670-671	13
00690	13	00699	15
00801-804	13	00806-810	13
00817-818	15	00819	13
00830	13	00840	13
00850	13	00854-855	13
00856	15	00861	13
00880-881	13	00892-893	13
00896	13	00899	15
00904	15	00905	12
00930	12	00950	15
00963	15	00986	15
00999	15	01001	13
01015	13	01016	15
01020	15	01035	13
01060	15	01071	13
01082-1084	13	01087	15

<b>Occupational Series</b>	<b>This grade &amp; lower grades are exempt</b>	<b>Occupational Series</b>	<b>This grade &amp; lower grades are exempt</b>
01099	15	01101	12
01102	11	01103-1105	12
01106-1107	15	01130	12
01140	12	01150	12
01152	12	01160	12
01163	12	01170-1171	12
01176	12	01199	15
01202	15	01220-1222	12
01299	15	01301	13
01306	13	01310	13
01311	15	01313	13
01315	13	01316	15
01320	13	01321	13
01340	13	01341	15
01350	13	01370	13
01371	15	01372-1373	13
01374	15	01399	15
01410-1412	15	01420-1421	15
01499	15	01510	13
01515	13	01520	13
01521	15	01529	13
01530	13	01531	15
01550	13	01599	15
01601	13	01640	13
01654	13	01670	13
01699	15	01701	12
01702	15	01712	13
01750	13	01799	15
01801	12	01810	no exemptions
01811	no exemptions	01825	12
01899	15	01910	12
01999	15	02001	13
02003	13	02005	15
02010	13	02030	15
02050	15	02099	15
02101	13	02102	15
02130-2131	13	02150-2151	13
02181	15	02199	15
02210	13	02299	15
02600 and above	all are exempt		
Prevailing rate	all are exempt		
Administratively Determined	all are exempt		

**Employees Occupying Excepted Service Positions.** Employees occupying an Excepted Service position (EJ, EK, and EN series) might be exempt from filing a Confidential Financial Disclosure Report, depending on his or her pay band and occupational series. First, on the chart below, an EJ, EK, or EN employee should use his or her Excepted Service pay band to determine the equivalent grade. (For example, the chart below shows that an EJ employee in pay band III has an equivalent grade of 12.) Then an EJ, EK, or EN employee may determine whether he or she is required to file a Report by referring to his or her occupational series and the equivalent grade level on the above list of Exempt Positions. (Continuing the example, if the same EJ employee at pay band III is in occupational series 00850, she would be exempt from filing this Report because the Exempt List shows that this occupational series to be exempt at grade 13 and below.)

Excepted Service Pay Band	Equivalent Grade
I	07
II	09
III	12
IV	14
V	All file Public Financial Disclosure Report (SF 278).

BY ORDER OF THE SECRETARY OF ENERGY:



CLAY SELL  
Deputy Secretary